



DOCUMENT RETENTION POLICY & PROCEDURE

V1.0 November 2025

CONTENTS

Policy Statement	1
Procedure	1
Destruction of documents	2
Email correspondence	2
Your right to access information ELCAP holds on your behalf	2
ELCAP Documents	
Employee	3
Candidates unsuccessful during recruitment	3
Financial information	3
Governance	3
Purchaser Correspondence	4
Service Users	4

POLICY STATEMENT

ELCAP must ensure that company records are kept securely as required by law and best practice.

Company records which are no longer required will be disposed of in a secure way and on a regular basis.

PROCEDURE

The General Data Protection Regulation (2018) came into force on 25th May 2018, replacing the existing Data Protection Act 1998.

ELCAP will inform all stakeholders about the information kept on them by the organisation and the relevance of the retention of these records. This audit of paperwork can be found on pages 3-8.

ELCAP must ensure that all company records are securely stored whether electronically or hard copy. A table of the documents, required retention period and the person responsible is attached.

If it is not clear how long to keep a record from this table, then consult the Chief Executive. This will ensure easy access but also facilitate the removal of documents no longer required.

It is also important to dispose of records which are no longer required.

DESTRUCTION OF DOCUMENTS

Paper and electronic documents should be shredded or erased to ensure that all personal information remains confidential. This will free up space and ensure easier access to current paperwork. Records should be either shredded or erased from the electronic system to ensure that confidentiality is not breached.

Each year (31st March), all managers and office based staff will review the document retention procedure and will ensure all paperwork, within their delegated responsibility as outlined on pages 3-8 are destroyed outwith the specific dates as outlined.

EMAIL CORRESPONDANCE

ELCAP's external IT Provider have systems in place to ensure that all email correspondence is archived and deleted in line with our procedures, set out as follows:

- Automatically move items that are 3 years old to the user's archive mailbox.
- Automatically deletes items that are 5 years old from the Deleted Items folder. This also frees up space in the user's primary mailbox. Users will have the opportunity to recover these items if necessary.
- Automatically (and permanently) deletes items that are 6 years old from both the primary and archive mailbox. Because of compliance regulations, some places are required to retain email for a certain period of time, we can amend this if that's the case.

YOUR RIGHT TO ACCESS INFORMATON ELCAP HOLDS ON YOUR BEHALF

All stakeholders of ELCAP have the right to request to access information that is held on them. This service is free of charge and should be requested via Business Manager, Data Controller. ELCAP will provide you with this information within 30 days or will notify you within 30 days of any lawful reason for refusal of this information.

ELCAP DOCUMENTS

Employees

Type of record	Format and Location	Reason for retaining the information	Retention period
Payroll records (salary, relief, overtime, sleepover, expenses and any other additional items). This also includes records of rotas, which additional hours and sleepovers are calculated from.	Electronic in payroll system and on network drive.	ELCAP must keep this information to ensure we adhere to our financial regulations; be able to check back on historical queries for employees in any event and also for auditing purposes.	6 years
Pension records relating to payroll.	Electronic in payroll system on network drive.	ELCAP must keep this to ensure we are able to deduct our pension contributions from employees.	6 years
Income Tax and NI Returns: Income Tax records and correspondence.	Electronic in payroll system on network drive.	ELCAP must keep this to ensure we are able to deduct the correct contributions and provide the relevant paperwork for HMRC.	6 years
Statutory Sick Pay records, calculations, med 3 certificates and self-certificates.	Electronic copy on our network drive.	ELCAP must keep this to ensure we are paying staff correctly and able to monitor staff absence records in line with our absence procedures.	Full period of employment, then 12 years after employment ceases.
Personnel records which include: Annual leave records, CPD records, letters, absence information and training records.	Electronic copy on our network drive.	To allow performance of contract.	Full period of employment, then 12 years after employment ceases.

Disciplinary records: minutes, statements and any other evidence presented in the disciplinary process.	Electronic copy on our network drive.	To allow performance of contract.	Full period of employment, then 12 years after employment ceases.
PVG certificates.	Paper copy stored in a locked cabinet.	Please see Protection of Vulnerable Groups procedure which outlines why we keep this information and how often we carry out these checks.	7 months.

Candidates Unsuccessful during recruitment

Type of record	Format and Location	Reason for retaining the information	Retention period
Job applications; Application forms, references, PVG's and bank detail form.	Electronic file	ELCAP must keep records of information on all new starts to ensure that we carry out our recruitment process fairly and honestly and meet equal opportunities.	7 months

Financial Information

Type of record	Format and Location	Reason for retaining the information	Retention period
Sales invoices. Name and contact details of customer can be found on this.	Electronic file		6 years.

Purchase invoices. Name and contact details of supplier can be found on this.	Electronic file		6 years.
---	-----------------	--	----------

Governance

Type of record	Format and Location	Reason for retaining the information	Retention period
JCC constitution and any agreements. JCC meeting minutes.	Electronic on our network drive.	To ensure we maintain historical records of all strategic decisions made in relation to employee contracts.	Permanently
Member's information. Such as application forms with personal details on the application form.	Electronic on our network drive.	To ensure good governance and also ensure that we update our members of any developments in the organisation.	Full term of membership and 6 years thereafter.
Trustee minutes, which would include: Board minutes, audit committee, advisory council and other associated committees and sub-committees.	Electronic on our network drive.	To ensure good governance and to keep historical developments on the strategic planning of ELCAP.	Permanently
Complaints Register & Paperwork.	Paper copy stored in locked filing cabinet. Electronic copies.	ELCAP hold a register of all complaints made to the organisation in order to be able to ensure that we are providing a high quality service, whilst taking into account recommendations made by service users, families, commissioners and other relevant people.	Paper copy kept for 1 year. Electronic copies stored for 6 years.

Purchaser Correspondence

Type of record	Format and Location	Reason for retaining the information	Retention period
Contract with purchasing authority or family.	Electronic file	ELCAP are audited annually to ensure good governance within the charity. For this reason it is important that all contracts are retained during a certain period of time to allow the Auditors to ensure we are not invoicing incorrectly or when we do not have a contract to do so.	

users

Type of record	Format and Location	Reason for retaining the information	Retention period
Support <i>Service</i> t plan.	Electronic. The service user is also issued with a paper copy.	<p>We update support plans on a regular basis to ensure that we have a record of how we support each individual.</p> <p>We keep previous versions of these support plans, to allow us to refer back with the individual, their families, care manager and the regulator to review how support has progressed over a period of time.</p> <p>We use this to comply with the Health & Social Care Standards.</p>	<p>Full period that individual receives support from ELCAP.</p> <p>6 years once support ceases.</p>
Written agreement	Electronic. The service user is also issued with a paper copy.	This document is produced to form an agreement between ELCAP and the service user about what we have agreed to support them on a weekly basis.	<p>Full period that individual receives support from ELCAP.</p> <p>6 years once support ceases.</p>

Records of financial transactions.	Electronic on server. Paper copy in service user's house.	If ELCAP staff are involved, as part of the support of an individual, to assist them with their financial affairs then records of financial transactions must be carried to prevent any fraudulent activity.	Full period that individual receives support from ELCAP. 6 years once support ceases.
Medication records & medical appointment forms	Electronic on server. Paper copy in service user's house.	If ELCAP staff are involved, as part of the support of an individual, to assist them with their financial affairs then records of financial transactions must be carried to prevent any fraudulent activity.	Full period that individual receives support from ELCAP. 6 years once support ceases.
Diaries.	Paper copy in service user house.	We keep a diary to record the activities that service users take part in on a daily basis and record their general health.	Full period that individual receives support from ELCAP. 6 years once support ceases.
Incident forms.	Electronic copy & paper copy which is stored in a locked cabinet.	ELCAP must report and record all incidents that happen during service delivery. ELCAP will keep all incidents permanently, in the event that any historical adult support and protection issued is investigated.	Paper copy – 1 year. Electronic copy - Permanently